

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 16524.010

First Inventor Wayne GODFREY

Title Receptor on the Surface of Activated T-Cells (ACT-4)

Express Mail Label No.

JC970 U.S. PTO
09/852845

05/11/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
See 37 CFR 1.27.
2. ☐ Applicant claims small entity status.
3. ☒ Specification [Total Pages 60]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration [Total Pages 2]
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☒ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☒ paper
c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☒ 37 C.F.R. §3.73(b) Statement ☒ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS
Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Copies of Notice of Recordation of Assignment
Document

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)
Prior application information: Examiner P. Nolan

of prior application No: 08 / 472,940
Group / Art Unit: 1644

For **CONTINUATION or DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 28381 or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name	David R. Marsh				
	Arnold & Porter				
Address	555 Twelfth Street, N.W.				
City	Washington	State	DC	Zip Code	20004-1206
Country	US	Telephone	(202) 942-5000	Fax	(202) 942-5999

Name (Print/Type)	David R. Marsh/June E. Cohan	Registration No. (Attorney/Agent)	41,408/43,741
Signature			Date
			May 11, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any
comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark
Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for
Patents, Box Patent Application, Washington, DC 20231.**

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number	To Be Assigned
Filing Date	May 11, 2001
First Named Inventor	Wayne GODFREY
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket No	16524 010

TOTAL AMOUNT OF PAYMENT (\$ 1342

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to

Deposit Account Number 50-1824

Deposit Account Name Arnold & Porter

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 710

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24	-20** = 4	18	72
Independent Claims	10	-3** = 7	80
Multiple Dependent			0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 632

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 0

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	David R. Marsh/June E. Cohan	Registration No. Attorney/Agent)	41,408/43,741	Telephone	(202) 942-5000
Signature				Date	May 11, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

PTO 2038-01-01

ARNOLD & PORTER

June E. Cohan
June_Cohan@aporter.com

202.942.5071

202.942.5999 Fax

555 Twelfth Street, NW
Washington, DC 20004-1206

May 11, 2001

Box Patent Application

Commissioner for Patents
Washington, D.C. 20231

Re: U.S. Continuation Application based on U.S. Serial
No. 08/472,940 filed June 6, 1995
Application No.: To Be Assigned
Filed: May 11, 2001
For: Receptor on the Surface of Activated
T-Cells (ACT-4)
Inventors: Wayne GODFREY *et al.*
Atty. Docket: 16524.010

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. Utility Patent Application Transmittal (PTO/SB/05);
2. Form PTO/SB/17 (fee transmittal) (in duplicate);
3. U.S. Continuation Application entitled:

Receptor on the Surface of Activated T-Cells (ACT-4)

and naming as inventors:

Wayne GODFREY, Edgar G. ENGLEMAN, and David BUCK

the application consisting of:

- a. A specification containing:
 - (i) 52 pages of a description prior to the claims;
 - (ii) 7 pages of claims (58 claims);
 - (iii) a one (1) page abstract; and

- (iv) 4 pages of a sequence listing; and
- b. 9 sheets of drawings (Figures 1-9);
4. Computer-readable copy of sequence listing;
 5. Statement Regarding Sequence Submission;
 6. Preliminary Amendment;
 7. Copy of Declaration filed in parent application serial number 08/147,784, executed by Wayne Godfrey and Edgar G. Engleman;
 8. Copy of Declaration filed in parent application serial number 08/147,784, executed by David Buck;
 9. Copy of Revocation of Prior Power of Attorney and Appointment of New Attorneys of Record filed in parent application serial number 08/472,940;
 10. Copy of Certificate under 37 C.F.R. § 3.73(b) filed in parent application serial number 08/472,940, executed by The Board of Trustees of Leland Stanford Junior University;
 11. Copy of Notice of Recordation of Assignment Document received in parent application serial number 08/147,784, from assignors Wayne Godfrey and Edgar Engleman;
 12. Copy of Certificate under 37 C.F.R. § 3.73(b) filed in parent application serial number 08/472,940, executed by Becton Dickinson and Company;
 13. Copy of Notice of Recordation of Assignment Document received in parent application serial number 08/147,784, from assignor David Buck;
 14. Our Check No. 127878 in the amount of \$ 1342.00 to cover the basic filing fee and extra claims fee; and
 15. Two (2) return postcards.

This application is a continuation of co-pending U.S. Application No. 08/472,940 filed June 6, 1995, which is a divisional of U.S. Patent Application No. 08/147,784, filed November 3, 1993, now U.S. Patent No. 5,821,332.

May 11, 2001

Page 3

In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above-identified application are the same.

Authorization is hereby given to charge any fee deficiencies or credit any overpayment to counsel's Deposit Account No. 50-1824. A duplicate copy of this letter is attached for this purpose.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Respectfully submitted,

David R. Marsh (Reg. No. 41,408)
June E. Cohan (Reg. No. 43,741)

David R. Marsh (Reg. No. 41,408)

June E. Cohan (Reg. No. 43,741)

Enclosures

[illegible]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Wayne GODFREY *et al.*

Appln. No.: To Be Assigned

Filed: May 11, 2001

For: Receptor on the Surface of Activated T-Cells (ACT-4)

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: 16524.010

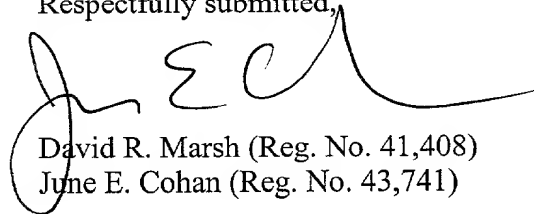
Statement Regarding Sequence Submission

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

In accordance with 37 C.F.R. § 1.821(f), the paper copy of the Sequence Listing and the computer-readable copy of the Sequence Listing submitted herewith in the above-mentioned application are the same.

Respectfully submitted,



David R. Marsh (Reg. No. 41,408)
June E. Cohan (Reg. No. 43,741)

Date: May 11, 2001

ARNOLD & PORTER
555 Twelfth Street, N.W.
Washington, D.C. 20004-1206
(202) 942-5000 telephone
(202) 942-5999 facsimile

FOI b 7 D 54225860